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<div align="center">**AUTHORSHIP DIRECTIVE**</div>

1. Background

Publications are essential to advance CIAT's goals and form an important component of innovation and development in agriculture. They allow peer researchers to analyze, critique, and build upon each other's work. Further, publications are useful to researchers to advance their professional careers.

2. Rationale

This directive outlines responsibilities and privileges of author(s) and the criteria for attribution of authorship for CIAT's publishable work. It guides CIAT personnel to take appropriate steps to define and confirm authorship during the course of their research and prior to submission of the manuscript for publication.

3. Scope

This directive applies to all CIAT staff, visiting scientists, seconded staff, consultants, and students (collectively referred to as CIAT Personnel) generating and developing publishable works at or for CIAT that are partly or fully funded by CIAT. It also applies to partners and collaborators involved in the generation of joint publishable works with CIAT Personnel. Authorship and attribution are applicable to all knowledge-based products such as research papers, photos, videos, datasets, maps, and software programs, among others.

4. Responsibilities and privileges

The role of author, either as a lead author or as a supporting author of any publication, comes with a variety of responsibilities and they are:

- preserving original data for retrieval, reconsideration, and reanalysis as necessary
- proactively assuring the factual integrity/truthfulness of the work's content
- ensuring open, barrier-free access to the data, materials, or other pertinent aspects of the project (in accordance with CIAT's *"Open Access and Data Management"* policy)
- defending against inappropriate criticism and acknowledging valid criticism of your work

Likewise, as an author, there are individual privileges that accompany authorship:

- recognition for your work
- addition to your CV

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- demonstrable progression in your career

5. Criteria

Criteria for determining authorship will vary according to the accepted practices in a particular discipline (e.g., socioeconomics, environmental science, plant breeding or plant molecular areas) and the guidelines of a specific publisher or journal if the work in question is a research paper. Nevertheless, there are general accepted parameters that should be considered to determine who is an author.

Authorship requires making a substantial intellectual contribution to one or more of the following areas:
   a) Developing ideas, concepts, and hypotheses
   b) Designing research methods, developing protocols and data collection
   c) Analyzing and interpreting the data
   d) Writing the paper

The reality, however, is that we work in a very dynamic and collaborative environment. Thus, to be an author of a research paper, you should ideally be involved in at least 2 of the 4 steps. You do not likely meet a reasonable criteria for authorship if you were only marginally involved or if you were only involved in some other aspect of the work, such as fund raising or project management.

For authorship in other types of publishable work (e.g., briefs, reviews, software programs, datasets, maps, photos), authors should have made a substantial intellectual contribution to the work.

6. Defining authorship

Research at CIAT is a collaborative and inclusive activity. For the benefit of the organization, every effort must be made to ensure that all deserving people receive credit for work to which they contributed.

Before writing a paper, let your supervisor(s) and supposed co-authors know that you are planning to write a paper. They can advise you if you should include someone else.

The 'first author' is the person who has a clear leadership role in the four steps described above and is typically the person who makes the first draft of the paper. They will have been directly responsible for conducting the research, and will have contributed substantially to most sections of a paper, including the problem statement, materials and methods used, interpretation of the data and how the results advance the state-of-the-art knowledge.

Co-authors are accountable for writing some reasonable portion of the content and should be able to explain their contribution in relation to the whole study or the project specifics. They should agree on the final version of the manuscript before it is submitted to a publisher. Co-authors should not be added simply to 'sell' a paper through the inclusion of a person well-known in a particular discipline.

There are additional roles that authors may take on in the publication process. The

'corresponding author' is the person who acts as the link between editor and coauthors, as well as other interested researchers and the co-authors once a paper has been published. He/she is the individual who takes primary responsibility for communication with the journal during the manuscript submission, peer review, and publication process. The corresponding author should be available throughout the submission and peer review process to respond to editorial queries in a timely way, and should be available after publication to respond to critiques of the work and cooperate with any requests from the journal for data or additional information should questions about the paper arise after publication. The corresponding author should also keep co-authors informed and consult with them about points raised by the reviewers before finalizing a paper for publication. The corresponding author is often the Project Leader, but may also be another research with a high level of responsibility associated with the research. The Project Leader may encourage other capable team members to play this role to facilitate mentoring and career development.

"Honorary" or "gift" authorship (named author who has not met any of the authorship criteria) is **not acceptable**, though there may be situations where individuals have contributed in some way not specifically addressed above. These situations should be evaluated on a case-by-case basis and discussed with one or more experienced researchers within the organization.

Those who have contributed to some aspect of the work but do not qualify as authors should be acknowledged. For example, donors of research, survey managers or enumerators, editors or reviewers of papers, guides on statistical analysis, project managers, and general supervisors.

Do not put collaborators as authors without telling them. As an author, they are responsible for the content and should therefore be able to defend the work.

7. **Managing Disputes**
   Discussions about authorship must take place among personnel in a study during the planning phase, ideally before the research has commenced, throughout the life of a study, and in advance of the writing process. The person leading a particular study has the responsibility to lead a conversation and to arrive at a collective and consultative decision. Remember to let your collaborators know that you are planning to write a paper. They can advise you if they think you should include someone else that meet the authorship criteria. In the event of a dispute:

   - The project leader and the collaborators in a study should first make all efforts to resolve any dispute of authorship within their research team.
   - If this fails, the project leader (or if the project leader is involved in the dispute, the Research Area Director) should talk with the team to mediate and try to resolve the dispute.
   - Those involved in the dispute could bring in a third person, completely foreign to the project yet knowledgeable in authorship to facilitate the mediation.
   - If the dispute remains unsolved, the Director General will be the final arbiter.

Most importantly, inclusion or exclusion as an author should never be seen as leverage or as a divisive act. Simply put, we must work together to ensure that the right people receive credit for work to which they have contributed.

8. Responsibilities

- CIAT Personnel are responsible for collaborative and inclusive research process and publication making sure right people get credit for the work they contributed
- Project leaders and Program leaders are responsible for leading conversations to define authorship and its implementation throughout the project/program cycle
- Research Area Directors are responsible for assuring implementation of authorship guidelines
- Director of Program Management is responsible for supporting the implementation of the policy and for reinforcing authorship guidelines during staff induction and science meetings.

9. Implementation of the Directive

Every member of the CIAT personnel should comply with this policy as it is in her or his best interest to publish their work with an appropriate set of co-authors. If CIAT Personnel are in or are aware of a situation where they perceive that a colleague is not acting in a manner consistent with these guidelines, they should personally notify their scientific peers involved in the project and their immediate supervisor.

Breaches to this directive, depending on severity and regularity, may be subject to censure and registration in the employment record.

This policy will be revised from time to time by CIAT Management and adjusted if required. Any amendments will be notified to CIAT Personnel.